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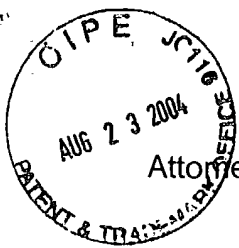
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Attorney Docket No. 42P9769

Patent

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Michael A. Kozuch et al.

Application No. 09/752,586

Filed: December 27, 2000

For: MECHANISM FOR PROVIDING  
POWER MANAGEMENT  
THROUGH VIRTUALIZATION

Examiner: Niles R. Shah

Art Unit: 2127

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AUG 25 2004

Technology Center 2100

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered, and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

08/24/2004 NROCHA1 00000082 09752586

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

By:

Anne Collette  
Anne Collette

Date: August 20, 2004

This IDS is being submitted on the same date as an Electronic IDS, a copy of which is attached hereto.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

\_\_\_\_\_ 37 C.F.R. §1.97(b).

  X   37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e) or

  X   A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

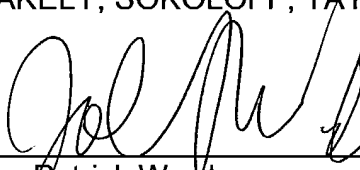
\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
- (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



\_\_\_\_\_  
John Patrick Ward  
Reg. No. 40,216

Dated: August 20, 2004

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1030  
(408) 720-8300

AUG 23 2004

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

**Complete if Known**

Application Number	09/752,586
Filing Date	December 27, 2000
First Named Inventor:	Michael A. Krutz
Group Art Unit	2127
Examiner Name	Nilesh R. Shah
Attorney Docket Number	42P9769

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Sheet 1 of 2

**FOREIGN PATENT DOCUMENTS**

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
		EP	0 892 521	A2	Hewlett-Packard Company	01-20-1999		
		EP	0 965 902	A2	National Semiconductor Corp.	12-22-1999		
		EP	1 055 989	A1	Hewlett-Packard Company	11-29-2000		
		EP	1 056 014	A1	Hewlett-Packard Company	11-29-2000		
		EP	1 085 396	A1	Hewlett Packard Company	03-21-2001		
		EP	1 271 277	A2	Redstrike B.V.	01-02-2003		
		WO	95/24696	A2	Integrated Technologies of America	09-14-1995		
		WO	98/12620		Mitsubishi Denki Engineering	09-20-1996		
		WO	99/18511	A1	Phoenix Technologies, Ltd.	04-15-1999		
		WO	99/65579	A1	Aristocrat Leisure Industries Pty. Ltd.	12-23-1999		
		WO	01/63994	A2	Iridian Technologies, Inc.	08-30-2001		
		WO	02/01794	A2	Intel Corporation	01-03-2002		
		WO	02/060121	A1	Intel Corporation	08-01-2002		
		WO	03/058412	A2	Intel Corporation	07-17-2003		

**OTHER ART – NON PATENT LITERATURE DOCUMENTS**

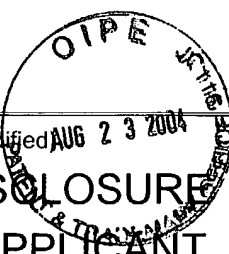
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		COULOURIS, G. et al., "Distributed Systems: Concepts and Design", 2 <sup>nd</sup> Edition, Addison-Wesley Publishers Ltd., Essex, England, pp. 422-424 (1994).	
		CRAWFORD, J., "Architecture of the Intel 80386", Proceedings of the IEEE International Conference on Computer Design: VLSI in Computers (ICCD '86), ISBN 0-8186-0735-1, pp. 155-160 (October 6 - 9, 1986).	
		FABRY, R.S., "Capability-Based Addressing", Communications of the ACM, Vol. 17, No. 7, pp. 403-412 (July 1974).	
		FRIEDER, G., "The Architecture and Operational Characteristics of the VMX Host Machine", IEEE Proceedings of the 15th Annual Workshop on Microprogramming, pp. 9-16, (October 5, 1982).	
		HEWLETT PACKARD COMPANY, "Mobile Security Overview", pp. 1-9, (September 2002).	

Examiner  
Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



Substitute for Form 1449A/PTO (Modified AUG 23 2004)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

## Complete if Known

Application Number	09/752,586
Filing Date	December 27, 2000
First Named Inventor:	Michael A. Kozuch
Group Art Unit	2127
Examiner Name	Nilesh R. Shah
Attorney Docket Number	42P9769

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Sheet 2 of 2

## OTHER ART – NON PATENT LITERATURE DOCUMENTS

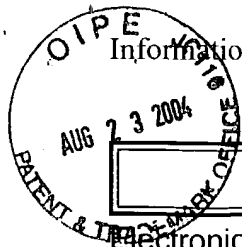
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Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		IBM CORPORATION, "IBM ThinkPad T30 Notebooks", IBM Product Specification, located at <a href="http://www-1.ibm.com/services/files/cisco_t30_spec_sheet_070202.pdf">www-1.ibm.com/services/files/cisco_t30_spec_sheet_070202.pdf</a> , pp. 1-6 (July 2, 2002).	
		INTEL CORPORATION, "Intel 82802AB/82802AC Firmware Hub (FWH)", Intel Product Datasheet, Document Number 290658-004, pp. 1-6, 17-28 (November 2000).	
		INTEL CORPORATION, "IA-64 System Abstraction Layer Specification", Intel Product Specification, Order Number 245359-001, 112 pages, January 2000.	
		INTEL CORPORATION, "Intel IA-64 Architecture Software Developer's Manual – Volume 2: IA-64 System Architecture", Intel Product Manual, Order Number 245318-001, pp. i, ii, 5.1-5.3, 11.1-11.8, 11.23-11.26, January 2000.	
		MENEZES, ALFRED J., et al., "Handbook of Applied Cryptography", CRC Press Series on Discrete Mathematics and its Applications, Boca Raton, FL, ISBN 0849385237, pp. 403-405, 506-515, 570 (October 1996).	
		NANBA, S. et al., "VM/4: ACOS-4 Virtual Machine Architecture", IEEE Proceedings of the 12th Annual Symposium on Computer Architecture, pp. 171-178 (June 1985).	
		RSA SECURITY INC., "Hardware Authenticators", located at <a href="http://www.rsasecurity.com/node.asp?id=1158">www.rsasecurity.com/node.asp?id=1158</a> , pp. 1-2 (2004).	
		RSA SECURITY INC., "Software Authenticators", located at <a href="http://www.rsasecurity.com/node.asp?id=1313">www.rsasecurity.com/node.asp?id=1313</a> , pp. 1-2 (2004).	
		RSA SECURITY INC., "RSA SecurID Authenticators", located at <a href="http://www.rsasecurity.com/products/securid/datasheets/SID_DS_0103.pdf">www.rsasecurity.com/products/securid/datasheets/SID_DS_0103.pdf</a> , pp. 1-2 (2003).	
		SCHNEIER, B., "Applied Cryptography: Protocols, Algorithm, and Source Code in C", 2 <sup>nd</sup> Edition, Wiley, John & Sons, Inc., ISBN 0471117099 (hardcover printing), pp. 47-52, 56-65, 169-187 (October 1995).	
		SCHNEIER, B., "Applied Cryptography: Protocols, Algorithm, and Source Code in C", 2 <sup>nd</sup> Edition, Wiley, John & Sons, Inc., ISBN 0471128457 (softcover printing), pp. 28-33, 176-177, 216-217, 461-473, 518-522 (November 1995).	

Examiner Signature		Date Considered	
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v18

Stylesheet Version v18.0

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Technology Center 2100

**Title of  
Invention****Mechanism for providing power management through  
virtualization**

Application Number: 09/752586

**\*09/752586\***

Confirmation Number: 1643

First Named Applicant: Michael Kozuch

Attorney Docket Number: 42P9769

Art Unit: 2127

Examiner: Nilesch Shah

Search string: ( 3699532 or 4207609 or 4319233 or 4403283 or 4419724 or 4430709 or 4802084 or 4975836 or 5187802 or 5230069 or 5237616 or 5287363 or 5295251 or 5361375 or 5469557 or 5506975 or 5555385 or 5555414 or 5560013 or 5574936 or 5604805 or 5633929 or 5668971 or 5684948 or 5706469 or 5740178 or 5809546 or 5825880 or 5919257 or 5935242 or 5935247 or 5978475 or 6035374 or 6088262 or 6093213 or 6108644 or 6188257 or 6199152 or 6275933 or 6282650 or 6327652 or 6397379 or 6529909 or 6560627 or 6609199 or 6615278 or 6651171 or 6678825 or 6684326 or 20010027511 or 20020007456 or 20020023032 or 20020147916 or 20020166061 or 20020169717 or 20030074548 or 20030115453 or 20030126442 or 20030126453 or 20030159056 or 20030188179 or 20030196085 or 20040117539 ).pn.

**US Patent Documents**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	3699532	1972-10-17	Schaffer et al.			
	2	4207609	1980-06-10	Luiz et al.			
	3	4319233	1982-03-09	Matsuoka et al.			
	4	4403283	1983-09-06	Myntti et al.			
	5	4419724	1983-12-06	Branigin et al.			
	6	4430709	1984-02-07	Schleupen et al.			
	7	4802084	1989-01-31	Ikegaya et al.			

	8	4975836	1990-12-04	Hirosawa et al.
	9	5187802	1993-02-16	Inoue et al.
	10	5230069	1993-02-16	Brelsford et al.
	11	5237616	1993-08-17	Abraham et al.
	12	5287363	1994-02-15	Wolf et al.
	13	5295251	1994-03-15	Wakui et al.
	14	5361375	1994-11-01	Ogi
	15	5469557	1995-11-21	Salt et al.
	16	5506975	1996-04-09	Onodera
	17	5555385	1996-09-10	Osisek
	18	5555414	1996-09-10	Hough et al.
	19	5560013	1996-09-24	Scalzi et al.
	20	5574936	1996-11-12	Ryba et al.
	21	5604805	1997-02-18	Brands
	22	5633929	1997-05-27	Kaliski
	23	5668971	1997-11-16	Neufeld
	24	5684948	1997-11-04	Johnson et al.
	25	5706469	1998-01-06	Kobayashi
	26	5740178	1998-04-14	Jacks et al.
	27	5809546	1998-09-15	Greenstein et al.
	28	5825880	1998-10-20	Sudia et al.
	29	5919257	1999-07-06	Trostle
	30	5935242	1999-08-10	Madany et al.
	31	5935247	1999-08-10	Pai et al.
	32	5978475	1999-11-02	Schneier et al.
	33	6035374	2000-03-07	Panwar et al.
	34	6088262	2000-07-11	Nasu
	35	6093213	2000-07-25	Favor et al.
	36	6108644	2000-08-22	Goldschlag et al.
	37	6188257	2001-02-13	Buer
	38	6199152	2001-03-06	Kelly et al.
	39	6275933	2001-08-14	Fine et al.
	40	6282650	2001-08-28	Davis
	41	6327652	2001-12-04	England et al.
	42	6397379	2002-05-28	Yates et al.
	43	6529909	2003-03-04	Bowman-Amuah

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	44	6560627	2003-05-06	McDonald et al.
	45	6609199	2003-08-19	DeTreville
	46	6615278	2003-09-02	Curtis
	47	6651171	2003-11-18	England et al.
	48	6678825	2004-01-13	Ellison et al.
	49	6684326	2004-01-27	Cromer et al.

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20010027511	2001-10-04	Wakabayashi et al.			
	2	20020007456	2002-01-17	Peinado et al.			
	3	20020023032	2002-02-21	Pearson et al.			
	4	20020147916	2002-10-10	Strongin et al.			
	5	20020166061	2002-11-07	Falik et al.			
	6	20020169717	2002-11-14	Challener			
	7	20030074548	2003-04-17	Cromer et al.			
	8	20030115453	2003-06-19	Grawrock			
	9	20030126442	2003-07-03	Glew et al.			
	10	20030126453	2003-07-03	Glew et al.			
	11	20030159056	2003-08-21	Cromer et al.			
	12	20030188179	2003-10-02	Challener et al.			
	13	20030196085	2003-10-16	Lampson et al.			
	14	20040117539	2004-06-17	Bennett et al.			

## Remarks

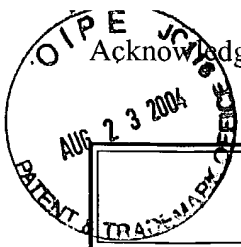
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## Signature

Examiner Name	Date



**UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

**Title of  
Invention**

Mechanism for providing power management through virtualization

Submission Type: Information Disclosure Statement

Application Number: 09/752586

\*09/752586\*

EFS ID: 67065

Server Response:

Confirmation Code	Message
ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application
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USPTOEFSNotice	For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number:1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a>

First Named Applicant: Michael Kozuch

Attorney Docket Number: 42P9769

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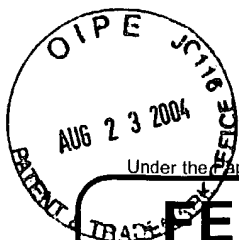
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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 180.00

**Complete if Known**

Application Number	09/752,586
Filing Date	December 27, 2000
First Named Inventor	Michael A. Kozuch
Examiner Name	Nilesh R. Shah
Art Unit	2127
Attorney Docket No.	42P9769

**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

02-2666

Blakely, Sokoloff, Taylor &amp; Zafman LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$ )

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
31	-31**= 0	18	0
4	-4**= 0	86	0
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 180.00

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	John Patrick Ward	Registration No. (Attorney/Agent)	40,216	Telephone	408-720-8300
Signature		Date	August 20, 2004		

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